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10/02/2001

UTILITY PATENT APPLICATION TRANSMITTAL

(only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 146712002800

First Inventor Qixu CHEN et al.

Title RUHENIUM-ALUMINUM UNDERLAYER FOR MAGNETIC RECORDING MEDIA

Express Mail Label No.

10/02/2001

10/02/2001

CERTIFICATE OF HAND DELIVERY

I hereby certify that this correspondence is being hand filed with the United States Patent and Trademark Office in Washington, D.C. on December 20, 2001.



N. Slaveter

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- | | |
|---|---|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g. PTO/SB/17)
<i>(Submit an original, and a duplicate for fee processing)</i> | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) |
| 2. <input type="checkbox"/> Applicant claims small entity status.
<i>See 37 CFR 1.27.</i> | 8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission
<i>(if applicable, all necessary)</i> |
| 3. <input checked="" type="checkbox"/> Specification
<i>(preferred arrangement set forth below)</i> | a. <input type="checkbox"/> Computer Readable Form (CRF) |
| - Descriptive title of the Invention | b. <input type="checkbox"/> Specification Sequence Listing on: |
| - Cross Reference to Related Applications | i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or |
| - Statement Regarding Fed sponsored R & D | ii. <input type="checkbox"/> paper |
| - Reference to sequence listing, a table, or a computer program listing appendix | c. <input type="checkbox"/> Statements verifying identify of above copies |
| - Background of the Invention | |
| - Brief Summary of the Invention | |
| - Brief Description of the Drawings (<i>if filed</i>) | |
| - Detailed Description | |
| - Claim(s) | |
| - Abstract of the Disclosure | |
-
- | | |
|---|--|
| 4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) | [Total Sheets 5] |
| 5. Oath or Declaration | [Total Pages 2] |
| a. <input checked="" type="checkbox"/> Newly executed (original or copy) | 9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) ✓ |
| b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))
<i>(for continuation/divisional with Box 18 completed)</i> | 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement
<i>(where there is an assignee)</i> |
| i. <input type="checkbox"/> DELETION OF INVENTOR(S)
<i>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)</i> | 11. <input type="checkbox"/> English Translation document (if applicable) |
-
- | | | |
|--|--|--|
| 6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76 | 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 | 13. <input type="checkbox"/> Preliminary Amendment |
| | 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)
<i>Should be specifically itemized</i> | 15. <input type="checkbox"/> Certified Copy of Priority Document(s)
<i>(if foreign priority is claimed)</i> |
| | 16. <input checked="" type="checkbox"/> Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. | 17. <input type="checkbox"/> Other _____ |

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231**ACCOMPANYING APPLICATION PARTS**

- | | | |
|--|--|---|
| 9. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) ✓ | 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement
<i>(where there is an assignee)</i> | <input type="checkbox"/> Power of Attorney |
| 11. <input type="checkbox"/> English Translation document (if applicable) | 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 | <input checked="" type="checkbox"/> Copies of IDS Citations |
| 13. <input type="checkbox"/> Preliminary Amendment | 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)
<i>Should be specifically itemized</i> | |
| 15. <input type="checkbox"/> Certified Copy of Priority Document(s)
<i>(if foreign priority is claimed)</i> | 16. <input checked="" type="checkbox"/> Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. | |
| 17. <input type="checkbox"/> Other _____ | | |

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation Divisional Continuation-in-part (CIP) of prior application No. *

Prior application information:

Examiner *

Group / Art Unit: *

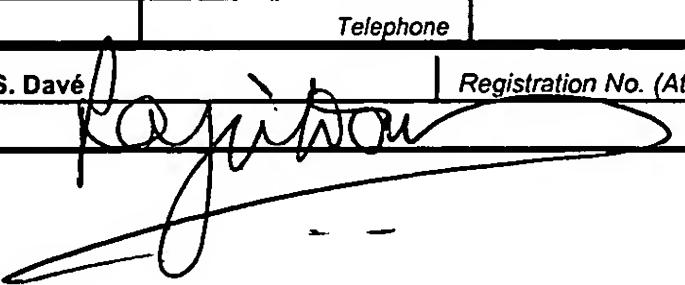
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. -CORRESPONDENCE ADDRESS Customer Number or Bar Code Labelor Correspondence address below

25227

PATENT TRADEMARK OFFICE

(Insert Customer No. or Attach bar code label here)

Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	
Name (Print/Type)	Raj S. Davé	Registration No. (Attorney/Agent)	42,465
Signature			
	Date December 20, 2001		

FEE TRANSMITTAL FOR FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

\$780.00

Complete if Known

Application Number	to be assigned
Filing Date	December 20, 2001
First Named Inventor	Qixu CHEN et al.
Examiner Name	to be assigned
Group Art Unit	to be assigned

Attorney Docket No. 146712002800

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 03-1952

Deposit Account Name Morrison & Foerster LLP

 Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed:

 Check Credit Card Money Order Other

FEE CALCULATION (continued)

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$740.00)

2. EXTRA CLAIM FEES

Total Claims	20	- 20** =	0	Extra Claims	Fee from below	Fee Paid
Independent Claims	3	- 3** =	0	x	18	= \$
Multiple Dependent				x	84	= \$

SUBTOTAL (2) (\$)

3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions of the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per properties (times number of properties)	40
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) Publication Fee

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$40.00)

** or number previously paid, if greater; For reissues, see above.

SUBMITTED BY

Name (Print/Type)	Raj S. Davé, Ph.D.	Registration No. (Attorney/Agent)	42,465	Telephone	(202) 887-8798
Signature	K. S. DAVE			Date	December 20, 2001

WARNING: Information on this form may become public. Credit card information should not

be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

dc-280546

REQUEST AND CERTIFICATION UNDER 35 USC 122(b)(2)(B)(i)

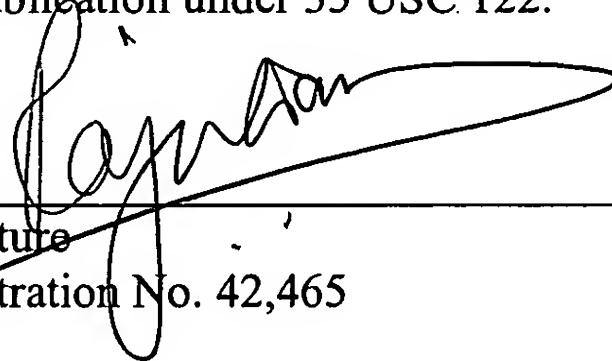
	First Named Inventor: Qixu CHEN et al.
	Title : RUTHENIUM-ALUMINUM UNDERLAYER FOR MAGNETIC RECORDING MEDIA
	Atty Docket Number: 146712002800

I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application **not be published under 35 USC 122(b).**

In making this certification I understand that "the invention disclosed in the attached application" is the invention first disclosed and claimed in the attached application and not the common disclosure of a distinct invention claimed in application Serial Number _____ Filed _____ which is subject to foreign filing and eighteenth month publication under 35 USC 122.

December 20, 2001

Date



Signature
Registration No. 42,465

Raj S. Davé, J.D., Ph.D.

This request is signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing.**

Applicant may rescind this non publication request at any time. If applicant rescinds a request that an application not be published under 35 USC 122(b), the application will be scheduled for publication at eighteen months from the earliest filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. Failure to do so will result in abandonment of this application (35 USC 122(b)(2)(B)(iii)).